Systems Engineering and Architecture Compliance (23 CFR 940.11) Checklist

For all federally funded Intelligent Transportation Systems (ITS) projects, a Systems Engineering and Architecture Compliance Checklist must be submitted to the Federal Highway Administration (FHWA) as part of the federal authorization paperwork. Prior to FHWA submittal, this checklist needs to be completed and submitted to Arizona Department of Transportation (ADOT) Transportation Technology Group (TTG) Manager for review and approval.

Section 1 – Project Information

1.1	Project Manager and Contact Information:
1.2	Project Title:

1.3	ADOT TRACS Number:	Federal-aid Project Number:

1.4	Project Description:
1.5	Project Location:

1.6	Budget:
	State
	Federal
	Other (Please Specify)

1.7 Nature of Work ("√" appropriate box):

☐	Software/Integration	☐	Planning
☐	Construction	☐	Equipment Upgrades
☐	Operations	☐	Other (Please Specify):
☐	Evaluations		

Section 2 – Regional or Statewide Architecture Conformance

2.1 Regional or Statewide Architecture:

☐	MAG	☐	PAG	☐	Statewide

2.2 User Service Bundles Implemented:

☐	Travel and Traffic Management	☐	Emergency Management
☐	Public Transportation Management	☐	Advanced Vehicle Safety
☐	Electronic Payment	☐	Information Management
☐	Commercial Vehicle Operations	☐	Maintenance and Construction Management

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2.3	Market Packages Implemented:

2.4	Changes recommended to Regional or Statewide Architecture?

☐ Yes   ☐ No

If "Yes", please specify and provide detail:

Section 3 - Participating Agencies and their Roles

3.1	Lead Agency:

3.2	Participating Agencies:

3.3	Is an Intergovernmental Agreement (IGA/JPA) Needed for this Project?

☐ Existing   ☐ To be Developed   ☐ No

Please describe operational and budgetary relationships:

Section 4 – Requirements Definitions and Alternatives Analysis

4.1	Project Purpose and Need Summary

Is there a project scoping document defining the issue?   ☐ Yes   ☐ No

If "No", please provide information:

Is there a project scoping document defining proposed alternatives?   ☐ Yes   ☐ No

If "No", please provide information:

4.2	Project Documentation

	Existing	Existing to Be Modified	To be Developed	Comment/Document Reference
Feasibility Study	☐	☐	☐	

	Existing	Existing to Be Modified	To be Developed	Comment/Document Reference
Alternative Analysis	☐	☐	☐	
Concept of Operations	☐	☐	☐	
Requirements	☐	☐	☐	
Design / Post Design	☐	☐	☐	

Section 5 – Procurement

5.1 Procurement Methods:

☐ Construction Contract   ☐ Procurement Contract

☐ Request for Proposal   ☐ Other (Please Specify):

☐ Invitation to Bid

5.2 Equipment to be purchased:

5.3 Procurement Contract Numbers to be used:

Section 6 – ITS Standards

6.1 Which specific National ITS Standards will be used in this project such as NTCIP and IEEE?

If no National ITS Standards can be identified please explain why not:

Section 7 – Systems Testing

7.1   Systems Testing Documentation

	Existing	Existing to Be Modified	To be Developed	Comment/Document Reference
System Test Plan	☐	☐	☐	
System Validation	☐	☐	☐	

Section 8 – Operational Resources

8.1   Procedures and Resources needed for Operation:

Section 9 - Schedule

9.1   Expected Completion Date:

9.2   Relationship to Other Federal, State, County, and Local Projects and Phases:

Section 10 – Strategic Plans for System Update				
10.1 Plans for system upgrade and lifecycle ("√" appropriate box)				
	Existing	Existing to Be Modified	To be Developed	Comment/Document Reference
System Update Plan	☐	☐	☐	

ADOT Transportation Technology Group Manager Signature   Date

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